# FY 2006 Gulf of Mexico Program Project Proposal Statement of Work (SOW) Format

The Gulf of Mexico Program (GMP) project proposal SOW format is patterned after the U.S. EPA's Quality Assurance Project Plan (*QAPP*). A proposal SOW in this format provides a comprehensive description of the work to be performed while also providing a majority of the Project Management Elements required for the QAPP (see Table 1). This should reduce the amount of work required for production of the QAPP by the grantee.

A QAPP is required for a project that collects field or laboratory measurements or that collects data and information from other sources such as scientific literature, other databases, the Internet, etc. If you are collecting, generating, or using environmental data, your organization must have an EPA-approved Quality Assurance **Management Plan** that describes your organization's quality assurance system (see <a href="http://www.epa.gov/quality/qmps.html">http://www.epa.gov/quality/qmps.html</a> )before we can award the grant or cooperative agreement. You are required to have an EPA approved Quality Assurance **Project Plan** before you can begin to collect data. (For more information, see <a href="http://www.epa.gov/quality/qapps.html">http://www.epa.gov/quality/qapps.html</a> and <a href="http://www.epa.gov/quality/qs-docs/r5-final.pdf">http://www.epa.gov/quality/qapps.html</a> and <a href="http://www.epa.gov/quality/faq6.html">http://www.epa.gov/quality/faq6.html</a>. Other information can be found at <a href="http://www.epa.gov/quality/faq6.html">http://www.epa.gov/quality/faq6.html</a>.

All GMP project proposals must include: (1) the project management elements that are highlighted in Table 1 below, and (2) the Application for Federal Assistance Package (see Table 2). The elements in Table 1 assure that the proposal includes all of the information necessary to describe the work to be performed and why it is important. They also demonstrate that the proposer has established clear goals and products for the effort and has carefully planned and coordinated the effort with the other participants.

Table 1. Project Management Elements		
* 1	Proposal Cover Sheet	
* 2	Table of Contents for Proposal Package	
3	Distribution List ( For QAPP only)	

* 4	Project/Task Organization
* 5	Project Problem Definition/Background
* 6	Project/Task Description
* 7	Quality Objectives and Criteria
* 8	Special Training/Certification
* 9	Documents and Records
* 10	Budget Explanation
* 11	Gulf of Mexico Program Office Requirements

<sup>\*</sup> required element for a project proposal

A description of the management elements required for the proposal are given below:

# 1 - Cover Sheet

On the Cover Sheet, include the title of the project, the name of the organization(s) implementing the project, the effective date of the project, and the names, titles, signatures, and approval dates of appropriate approving officials.

## 2 - Table of Contents

Provide a table of contents for the proposal package, including sections, figures, tables, references, and appendices.

## 3 - For QAPP Only

# 4 - Project/Task Organization

Identify the individuals or organizations participating in the project and discuss their specific roles and responsibilities.

If a QAPP will be required, include the principal data users, the decision makers, the project QA manager, and all persons responsible for implementation. The project quality assurance manager must be independent of the unit generating the data. (This does not include being independent of senior officials, such as corporate managers or agency administrators, who are nominally, but not functionally, involved in data generation, data use, or decision making.) Identify the individual responsible for maintaining the official, approved QAPP if one is required. Provide a concise organization chart showing the relationships and the lines of communication among all project participants. Include other data users who are outside of the organization generating the data, but for whom the data are nevertheless intended. The organization chart must also identify any subcontractor relationships relevant to environmental data operations, including laboratories providing analytical services.

#### 5 - Problem Definition/Background

State the specific problem to be solved, decision to be made, or outcome to be achieved. Include sufficient background information to provide a historical, scientific, and regulatory perspective for this particular project.

#### 6 - Project/Task Description

Provide a summary of all work to be performed, products to be produced, and the timeline and milestones for implementation. Provide maps or tables that show or state the geographic locations of field tasks. This discussion need not be lengthy or overly detailed, but should give an overall picture of how the project will resolve the problem or question described in 5.

## 7 - Data Quality Objectives and Criteria

Discuss the quality objectives for the project and the performance criteria necessary to achieve those objectives, i.e., type of data, accuracy required, precision. Discuss what needs to be collected, why it needs to be collected, and how accurate the data needs to be.

## **8 - Special Training/Certification**

Identify and describe any specialized training or certifications needed by personnel in order to successfully complete the project or task. Discuss how such training will be provided and how the necessary skills will be assured and documented.

#### 9 - Documents and Records

Identify all records, documents, and deliverables, including all metadata documentation of data sets collected or generated, applicable to the project that will be produced, such as audit

reports, interim progress reports, and final reports. In addition, provide a plan for archival and dissemination of electronic data produced by this project. GMP requires that as part of the proposal, the grantee agrees to provide the following documents:

- a. Quarterly project progress reports must be submitted to the Gulf of Mexico Program Office each January 15, April 15, July 15, and October 15 until completion of the project. The first quarterly report will be due on the first of these dates that occurs after the date of project award.
  - (See Appendix I for the report outline to be followed.)
- b. A financial status report should be reported quarterly (or semi-annually if a State Agency) to the GMP Project Officer.
- c. Two copies of a draft final report must be submitted to the GMP Project Officer for review and comment **prior to the final report submittal**.
- d. A final project report must be submitted to the GMP Project Officer in hard copy, on CD-ROM, and electronically in Word.
- e. A copy of any abstract for a presentation at a professional meeting or publication of data or scientific, informational, or educational material pertaining to this agreement must be provided to the GMP Project Officer for review prior to its dissemination. The GMP Project Officer must be advised of any participation in professional meetings and conferences where the results of this project will be presented or where the participation is funded under this project.
- f. The recipient will provide photos or videos and narrative documentation of the project with the one-year and final report to the GMP Project Officer.

#### 10 - Budget

Provide a description of the budget that is presented in the Application for Federal Assistance (SF 424A). This will help communicate how the funding is being spent and allow judgement as to whether it is reasonable for achieving the objectives. This also assures that the Gulf of Mexico Program can defend the budget for this project when it is reviewed by management. Your explanation should cover the following:

Personnel List Personnel by Title/Job Function, Degree/Experience,

and Salary

Fringe Benefits

Travel Itemization and explanation of travel anticipated under

this grant

Equipment List of equipment that will be purchased, leased, or rented

under this agreement. Does recipient want to retain

equipment after agreement is ended?

Supplies

Contract/Subcontracts Clearly identify any contracts and subcontracts, explain

their roles, and itemize their costs in a budget outline that

matches this one

Indirect Charges Indicate the indirect rates and if the rate has been

negotiated

Program Income Will program income be generated? Will the income be

used to defray expenses/carry out the purposes of the

agreement?

Other

## 11 - Gulf of Mexico Program Office Requirements

- a. List names of any partners contributing resources to the project and the value of their contributions.
- b. If habitat related, identify the number of acres restored, enhanced, and/or protected; indicate whether invasive species will be identified and removed.
- c. Is this project part of a larger regional or local watershed effort? Is the project called for in an existing watershed management plan, nonpoint source management plan, TMDL, or any similar document? Does it support a Gulf National Estuary Program (NEP) workplan or Comprehensive Conservation and Management Plan (CCMP)? Explain its role in the regional/local effort, in the NEP workplan, CCMP, watershed management plan, or any other plan.
- d. Identify the U.S. Geologic Survey (USGS) eight digit hydrologic unit codes (HUCs) and the state identified impaired waterbody segments (Clean Water Act 303(d) listed waters) for the watershed areas most affected by this project. Ensure that specific impairments are corresponding with appropriate HUCs and segments. Websites where the HUCs may be found: <a href="http://water.usgs.gov/GIS/huc-name.txt">http://water.usgs.gov/GIS/huc-name.txt</a> <a href="http://cfpub1.epa.gov/surf/locate/map2.cfm">http://cfpub1.epa.gov/surf/locate/map2.cfm</a>
- e. If the project will be maintained after GMP funding is expended, describe the

maintenance/continuation requirements and how they will be supported.

- f. Describe the anticipated benefits of the project from an ecological, educational, and/or socio-economic perspective (e.g. number of acres or stream miles restored)
- g. Describe the indicators or measures of success that will be used to assess the outcome/effectiveness of this project.
- h. For measurement or data collection projects (see introductory paragraphs in this proposal guidance), provide a schedule for completion of the QAPP. See Section H under Additional Information for Data Management.
- i. List any equipment that will be purchased under this agreement and if it is requested to retain this equipment after the completion of the project. The ultimate disposition of equipment should be decided in the pre-award phase.

#### ADDITIONAL INFORMATION

## A. Types of Assistance Agreements

EPA/GMPO will provide financial assistance through a grant or cooperative agreement. A grant is defined in 40 CFR 31.3 as an award of financial assistance, including cooperative agreements, in the form of money, or property in lieu of money, by the Federal Government to an eligible recipient organization. The distinguishing factor between a grant and a cooperative agreement is the degree of Federal participation or involvement during performance. A Cooperative Agreement is used whenever there is substantial involvement anticipated between EPA/GMPO and the recipient during performance of the contemplated activity. In addition to grant management and oversight, EPA/GMPO's role in cooperative agreements will typically include technical consultation and/or participation in applicable project steering committees. A grant is used when there is no substantial EPA involvement anticipated.

#### B. Project Start and End Dates

Project start and end dates will vary with the individual project, but time limits for completing projects are not expected to exceed two years. For planning purposes, applicants can assume an award date of April 1, 2006, and a project completion date of March 31, 2008. GMPO will work with successful applicants to adjust these dates as needed prior to award of funds.

#### C. Matching Funds

There is no mandatory required match. Match is calculated as follows: [Nonfederal share divided by total (EPA + nonfederal) cost] x 100. For funding opportunities, at least a five percent (5%)

match is strongly encouraged and will receive scoring credit as shown in Appendix D. The match requirement can be met with contributions from 3<sup>rd</sup> party match. For match provided by in-kind or cash match from a 3<sup>rd</sup> party, the preproposal must include a letter of commitment from the 3<sup>rd</sup> party, confirming the dollar amount of their commitment and explaining whether the match will be provided in cash or in-kind services. For in-kind services, the preproposal and commitment letter must describe the activities to be conducted during the project budget period for the match. EPA/GMPO will not give credit for 3<sup>rd</sup> party in-kind match unless a signed letter of commitment is submitted with the final proposal package. The organization that receives the grant from EPA/GMPO will be responsible for ensuring that the match commitment is met and that the 3rd party maintains appropriate documentation of these costs.

Matching funds are considered to be grant funds and may be used for reasonable and necessary expenses of carrying out the project described in the Final Project Workplan. Any restrictions on the use of grant funds, including project budget periods, also apply to the use of matching funds. **All project expenditures, including both the federal and nonfederal share, are subject to federal regulations governing the use of federal funds.** Other federal money cannot be used as match unless authorized by the statute governing the award of the other federal funds.

Please note: Reductions to the amount of the match after a proposal is selected for funding may result in loss of funding.

# D. Types of Projects Authorized

We encourage you to adhere closely to the type of project in developing your project proposal to ensure that we have the legal authority to fund your project. We will disqualify proposals for unauthorized project types. Types of projects that are ineligible for funding are routine construction projects, such as installing centralized or decentralized sewage treatment systems, except to a limited degree to demonstrate innovation, prevention, or removal of pollution; land acquisition; or projects that are largely general education/outreach or conferences unless they meet a clear need to accomplish a public purpose and not for the direct benefit of EPA. In accordance with Executive Order 12579, organizations that have been debarred or suspended from a program by any federal agency will not be eligible to receive an award or subaward through this solicitation.

#### E. Procurement of Goods and Services

If your project will include procurement of any goods or services, we encourage you to review the federal requirements in 40 CFR 31.36 for state and local governments and Tribes, or 40 CFR 30.40 for nonprofit organizations and universities, prior to developing your project proposal or contacting any potential contractors or suppliers. Recipients of EPA grants and cooperative agreements will be required to follow a fair and open competitive process when procuring goods and services from commercial sources. This includes the requirement to maximize opportunities to minority and women owned businesses and to document the "six affirmative steps" referenced in the regulations for each procurement transaction.

#### F. Collection of Information

If your project is selected for funding as a cooperative agreement and will include the collection of identical information from ten or more persons, EPA is required to get prior approval from the United States Office of Management and Budget (OMB) to comply with the Paperwork Reduction Act. This approval, if granted, may take as long as six months and will significantly delay the final approval of your project. If your project is tentatively selected for funding, EPA will request the following information from you in order to apply for OMB approval: 1) description of information to be collected, 2) explanation of the need for the information, and 3) to whom the survey is being directed.

#### G. Copyrighted Software and Written Materials

EPA has certain rights to copyrighted software and written materials developed under assistance agreements. If your proposal includes development of copyrighted software or written materials, EPA will use a grant condition to clarify our rights to reproduce, publish, use, and authorize others to use copyrighted works.

#### H. Data Management

To ensure the quality, consistency, and accessibility of data and information that result from our grants and cooperative agreements, EPA has established standards which the award recipient must meet. We will use grant terms and conditions to establish these requirements in grants and cooperative agreements. The standards apply to the following principles:

- a. Using Data Standards established by the Agency, the Environmental Council of the States as well as the Federal Advisory Council for Water Information;
- b. Applying best practices for developing information technology products such as internet applications, databases and water quality models,
- c. Entering water monitoring data into the STORage and RETrieval (STORET) System or providing such data in the ACWI Core Monitoring Data Element Standard;
- d. Indexing monitoring, financial, program and facility data to the National Hydrography Dataset to enable a watershed management framework.
- e. All data, particularly electronic data, must be submitted in a format agreed upon by the Project Officer and on media in agreement with the Project Officer. Copies of publications, pamphlets, or brochures must be provided in both hard copy and in electronic format, i.e., such as CD.
- f. Unique metadata records must be provided, in electronic format, for all

individual data sets and documents generated as part of this project, as appropriate. Metadata records should adhere to the Federal Geographic Data Committee (FGDC) Content Standard for Digital Geospatial Metadata (CSDGM) and shall contain at least the mandatory elements of the standard. Submission of correctly formatted and validated metadata records is encouraged. Information on the FGDC CSDGM and tools for metadata development and validation are available from the FGDC website at <a href="https://www.fgdc.gov">www.fgdc.gov</a>

## I. Pre-award Costs

Unless EPA specifically approves pre-award costs, all project costs, including any applicable match, must be incurred during the budget period. Applicants incur pre-award costs at their own risk. If your project is selected for funding and you have the need to incur costs (including activities or costs to be counted as match) prior to your receipt of the assistance agreement, you should discuss this need with your EPA Project Officer prior to incurring project costs.

## J. Responsiveness

EPA reserves the right to disqualify projects selected for funding if the applicant fails to submit a complete Application for Federal Assistance and Final Project Workplan within six months of receiving a request for a grant application and final workplan.

Several forms are required in addition to the proposal statement of work for a complete application package. These forms are identified in Table 2 below.

#### Table 2.

# APPLICATION PACKAGE SUBMITTAL CHECKLIST

- 1. SF 424 Application for Federal Assistance
  - SF 424A Budget Information (Non-construction programs) including Object Class Categories Worksheet
  - SF 424B Assurances (Non-construction Programs)
  - **Key Contacts List**
- 2. State Clearinghouse comments (must submit to State Clearinghouse) see block 16 of SF 424
- 3. Quality Assurance statement, if applicable
- 4. Certification Regarding Debarment and Suspension
- 5. Lobbying Certification and Disclosure Forms
- 6. Compliance Report
- 7. Disadvantaged Business Utilization Report (MBE/WBE)
- 8. Regulations and OMB Circulars
- 9. Statement of Work
- 10. Current indirect cost rate negotiation agreement, if applicable

# APPENDIX I QUARTERLY PROGRESS REPORT OUTLINE FOR GULF OF MEXICO PROGRAM PROJECTS

Grant/ Coope	rative Agreement/Interagency Agreement No	
Project Mana	ger:	
GMPO requires the project manager of grants, cooperative agreements, or interagency agreements to submit to the Gulf of Mexico Program project officer a quarterly progress report. This report can be as brief as one page as long as you can provide the information. The items listed below should be addressed as appropriate:		
1.	Describe work accomplished for this reporting quarter.	
2.	Explain problems (or sources of error) encountered, if any. (a) Detail any corrective actions taken.	
3.	Outline work projected for activities in the next quarter.	
4.	Is the project work on schedule? (a) This quarter (b) For the project	
5.	Does the project funding rate support the work progress? If no, explain.	
6.	What has been spent to date? (a) How will remaining funds be spent?	
7.	Have you submitted a quarterly voucher for reimbursement?  (a) If so, attach a copy to your quarterly report.	
8.	Document any change in project management.	
9.	A funding amendment will be required if you cannot complete the project as planned.	
10.	Attach copies of any abstracts or presentation materials given at professional meetings or conferences; copies of publications of data or	

scientific information or educational materials pertaining to this

agreement.